RGMIA Research Report Collection, Vol. 1, No. 2, 1998
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SOME ESTIMATIONS OF KRAFT NUMBERS AND RELATED RESULTS

N.M. DRAGOMIR, S.S. DRAGOMIR AND K. PRANESH

ABSTRACT. Some inequalities for Kraft numbers which are important in coding theory [2, 3], for they lead to a simple criterion to determine whether or not there is an instantaneous code with given codeword lengths, are pointed out.

1 INTRODUCTION

The following remarkable theorem, published by L.G. Kraft in 1949 gives a simple criterion to determine whether or not there is an instantaneous code [1, p. 43] with given code word lengths [1, p. 44].

Theorem 1.1. *(Kraft's Theorem) We have*

1. *If C is an r-ary instantaneous code with code word lengths $l_1, ..., l_n$, then these lengths must satisfy Kraft's inequality*

$$\sum_{k=1}^{n} \frac{1}{r^{l_k}} \leq 1. \tag{1.1}$$

2. *If the numbers $l_1, l_2, ..., l_n$ and r satisfy Kraft's inequality* (1.1), *then there is an instantaneous r-ary code with codeword lengths $l_1, ..., l_n$.*

It is interesting to observe that Kraft's inequality is also necessary and sufficient for the existence of a uniquely decipherable code. Of course, Kraft's inequality is sufficient since any instantaneous code is also uniquely decipherable. The necessity of Kraft's inequality was proved by McMillan in 1956 [1, p. 47]:

Theorem 1.2. *(McMillan's Theorem). If $C = \{c_1, ..., c_n\}$ is a uniquely decipherable r-ary code, then its code word lengths must satisfy Kraft's inequality* (1.1).

Define now for an r-ary code C having the code word lengths $l_1, ..., l_n$ the Kraft numbers

$$K_r(l_1, ..., l_n) = \sum_{k=1}^{n} \frac{1}{r^{l_k}}.$$

In what follows we shall point out some new inequalities for Kraft numbers which are closely connected with the inequalities (1.1). Some related results with Kraft's theorem are also given.

Date. December, 1998
1991 Mathematics Subject Classification. Primary 26D15; Secondary 94Xxx.
Key words and phrases. Kraft Inequality, Analytic Inequalities

2 The Results

We shall start with the following lemma which is of interest in itself.

Lemma 2.1. *Let r, l_i $(i = 1, ..., n)$ be real numbers with $r > 1$.*
Then we have the double inequality

$$\ln r \sum_{i=1}^{n} \frac{\log_r \left(r^{l_i}\right)}{r^{l_i}} \leq 1 - \sum_{i=1}^{n} \frac{1}{r^{l_i}} \leq \ln r \left[\frac{1}{n} \sum_{i=1}^{n} l_i - \log_r n\right]. \tag{2.1}$$

The equality holds iff $l_i = \log_r n$ for all $i \in \{1, ..., n\}$.

Proof. The exponential map $f : \mathbf{R} \to (0, \infty), f(x) = r^x$ is strictly convex on $\mathbf{R}$.

Recall that for a convex mapping f which is differentiable on its domain, we have the double inequality:

$$f^{'}(y)(x-y) \leq f(x) - f(y) \leq f^{'}(x)(x-y) \tag{2.2}$$

for all x, y in the domain of f.

As $f^{'}(x) = r^x \ln r$, then by (2.2) we get

$$r^y(x-y) \ln r \leq r^x - r^y \leq r^x(x-y) \ln r, \qquad x, y \in \mathbf{R}. \tag{2.3}$$

Now if we choose into the inequality (2.3) $x = -l_i, y = \log_r \left(\frac{1}{n}\right)$ we deduce

$$r^{-l_i} \left[-l_i - \log_r \left(\frac{1}{n}\right)\right] \ln r \geq r^{-li} - \frac{1}{n} \geq \frac{1}{n} \left[-l_i - \log_r \left(\frac{1}{n}\right)\right] \ln r$$

for all $i \in \{1, ..., n\}$, which is equivalent to:

$$(l_i - \log_r n)\, r^{-l_i} \ln r \leq \frac{1}{n} - \frac{1}{r^{l_i}} \leq \frac{1}{n}(l_i - \log_r n) \ln r \tag{2.4}$$

for all $i \in \{1, ..., n\}$.

Summing in (2.4) over i from 1 to n, we deduce (2.1). The case of equality follows by the strict convexity of the mapping $f(x) = r^x$ $(r > 1, x \in \mathbf{R})$. We shall omit the details. ∎

Theorem 2.2. *Let $C = (c_1, ..., c_n)$ be an r-ary code having the codeword lengths $l_1, ..., l_n$. Then we have the estimation for the Kraft's number:*

$$\begin{aligned} \frac{1}{n \ln r} \sum_{i=1}^{n} \left[\ln (nr) - l_i \left[\ln r\right]^2\right] &\leq K_r (l_1, ..., l_n) \\ &\leq \frac{1}{n \ln r} \sum_{i=1}^{n} \left[\frac{r^{l_i} \ln r + n \ln n - n l_i \left[\ln r\right]^2}{r^{l_i}}\right]. \end{aligned} \tag{2.5}$$

The equality holds iff $l_i = \log_r n$.

Proof. By Lemma 2.1, we have

$$\begin{aligned} K_r (l_1, ..., l_n) &\geq 1 - \ln r \left[\frac{1}{n} \sum_{i=1}^{n} l_i - \log_r n\right] \\ &= \frac{1}{n \ln r} \sum_{i=1}^{n} \left[\ln(nr) - l_i (\ln r)^2\right] \end{aligned}$$

and

$$K_r(l_1,...,l_n) \le 1 - \ln r \sum_{i=1}^{n} \frac{\log_r\left(\frac{r^{l_i}}{n}\right)}{r^{l_i}}$$
$$= \frac{1}{n \ln r} \sum_{i=1}^{n} \left[\frac{r^{l_i} \ln r + n \ln r - n l_i [\ln r]^2}{r^{l_i}} \right].$$

The case of equality is obvious by the same lemma. ∎

Corollary 2.3. *Let $C = (c_1, ..., c_n)$ be an r-ary code having the codeword lengths $l_1, ..., l_n$. If*

$$\frac{1}{n}(l_1 + ... + l_n) < \log_r n, \tag{2.6}$$

then C is not uniquely decipherable.

Corollary 2.4. *If the real numbers $r, l_i (i = 1, ..., n)$ satisfy the inequality:*

$$\frac{\sum_{i=1}^{n} \frac{l_i}{r^{l_i}}}{\sum_{i=1}^{n} \frac{1}{r^{l_i}}} \ge \log_r n \tag{2.7}$$

then there is an instantaneous r-ary code with codeword lengths $l_1, ..., l_n$.

Proof. Note that the inequality (2.7) is clearly equivalent to

$$\sum_{i=1}^{n} \frac{l_i - \log_r n}{r^{l_i}} \ge 0$$

but by the inequality (2.1) we have

$$0 \le \ln r \sum_{i=1}^{n} \frac{l_i - \log_r n}{r^{l_i}} \le 1 - K_r(l_1, ..., l_n)$$

and, then

$$K_r(l_1, ..., l_n) \le 1.$$

Applying Kraft's theorem we deduce the desired conclusion. ∎

Lemma 2.5. *Let $r, l_i \ge 1\,(i = 1, ..., n)$ be real numbers. Then we have the inequality:*

$$\frac{1}{n}\sum_{i=1}^{n} l_i \left(1 - \frac{n^{\frac{1}{l_i}}}{r}\right) \ge 1 - \sum_{i=1}^{n} \frac{1}{r^{l_i}} \ge r \sum_{i=1}^{n} \frac{l_i}{r^{l_i} n^{\frac{1}{l_i}}} \left(1 - \frac{n^{\frac{1}{l_i}}}{r}\right). \tag{2.8}$$

The equality holds iff $l_i = \log_r n, i = 1, ..., n$.

Proof. The mapping $g(x) = x^p, p \ge 1$ is strictly convex on $(0, \infty)$ so by the inequality (2.2), we have the inequality

$$pb^{p-1}(a - b) \le a^p - b^p \le pa^{p-1}(a - b) \tag{2.9}$$

for all $a, b \in [0, \infty)$.

Let choose in (2.9)

$$p = l_i \geq 1, \quad a = \frac{1}{r} \quad , b = \left(\frac{1}{r}\right)^{\frac{1}{l_i}}$$

to get for all $i \in \{1, ..., n\}$

$$l_i \left(\frac{1}{n}\right)^{\frac{l_i-1}{l_i}} \left(\frac{1}{r} - \left(\frac{1}{n}\right)^{\frac{1}{l_i}}\right) \leq r^{-l_i} - \frac{1}{n} \leq l_i \left(\frac{1}{r}\right)^{l_i-1} \left(\frac{1}{r} - \left(\frac{1}{n}\right)^{\frac{1}{l_i}}\right)$$

which is equivalent to

$$\frac{1}{rn} l_i n^{\frac{1}{l_i}} - \frac{l_i}{n} \leq r^{-l_i} - \frac{1}{n} \leq l_i \left(\frac{1}{r}\right)^{l_i} - l_i \left(\frac{1}{r}\right)^{l_i-1} \left(\frac{1}{n}\right)^{\frac{1}{l_i}} \tag{2.10}$$

for all $i \in \{1, ..., n\}$.

Summing into the inequality (2.10) over i from 1 to n, we derive

$$\frac{1}{rn}\sum_{i=1}^{n} l_i n^{\frac{1}{l_i}} - \frac{1}{n}\sum_{i=1}^{n} l_i \leq \sum_{i=1}^{n} \frac{1}{r^{l_i}} - 1 \leq \sum_{i=1}^{n} l_i \left(\frac{1}{r}\right)^{l_i} - \sum_{i=1}^{n} \frac{l_i}{r^{l_i-1}} \frac{1}{n^{\frac{1}{l_i}}}$$

which is equivalent to (2.8).

The case of equality holds from the strict convexity of g and taking into account that $\frac{1}{r} = \left(\frac{1}{n}\right)^{\frac{1}{l_i}}$ iff $\frac{1}{l_i} \log_r \frac{1}{n} = -1$, i.e., $l_i = \log_r n, i = 1, ..., n$. ∎

In the following theorem we give an estimation of Kraft numbers $K_r(l_1, ..., l_n)$ holds.

Theorem 2.6. *Let $C = (c_1, ..., c_n)$ be an r-ary code with the codeword lengths $l_1, ..., l_n$. Then we have the estimation*

$$\begin{aligned} \frac{1}{nr}\sum_{i=1}^{n} \left[n^{\frac{1}{l_i}+1} - r(l_i - 1)\right] &\leq K_r(l_1, ..., l_n) \\ &\leq \frac{1}{nr}\sum_{i=1}^{n} \left[\frac{r^{l_i+1} n^{\frac{1}{l_i}} \left(n^{\frac{1}{l_i}+1} + 1\right) - nr^2 l_i}{r^{l_i} n^{\frac{1}{l_i}}}\right] \end{aligned} \tag{2.11}$$

The equality holds in (2.11) *iff* $l_i = \log_r n$.

Proof. By Lemma 2.5 we have

$$\begin{aligned} K_r(l_1, ..., l_n) \geq 1 - \frac{1}{n}\sum_{i=1}^{n} \left(l_i - \frac{n^{\frac{1}{l_i}}}{r}\right) &= \frac{1}{nr}\sum_{i=1}^{n} \left[r(1 - l_i) + n^{\frac{1}{l_i}+1}\right] \\ &= \frac{1}{nr}\sum_{i=1}^{n} \left[n^{\frac{1}{l_i}+1} - r(l_i - 1)\right] \end{aligned}$$

and

$$\begin{aligned} K_r(l_1, ..., l_n) &\leq 1 - \sum_{i=1}^{n} \left[\frac{rl_i}{r^{l_i} n^{\frac{1}{l_i}}} - n^{\frac{1}{l_i}}\right] \\ &= \frac{1}{nr}\sum_{i=1}^{n} \left[\frac{r^{l_i+1} n^{\frac{1}{l_i}} \left(1 + n^{\frac{1}{l_i}+1}\right)}{r^{l_i} n^{\frac{1}{l_i}}}\right] \end{aligned}$$

and the inequality (2.11) is proved. The case of equality follows by Lemma 2.5, too. ∎

Proposition 2.7. *Let $C = (c_1, ..., c_n)$ be an r-ary code with the codeword lengths $l_1, ..., l_n$. If*

$$\frac{\sum\limits_{i=1}^{n} l_i n^{\frac{1}{l_i}}}{\sum\limits_{i=1}^{n} l_i} > r \tag{2.12}$$

then C is not uniquely decipherable.

Proof. If we would assume that C is uniquely decipherable, then by McMillan's theorem we have that $K_r(l_1, ..., l_n) \geq 1$ which implies

$$0 \leq 1 - K_r(l_1, ..., l_n) \leq \sum_{i=1}^{n} l_i \left(1 - \frac{n^{\frac{1}{l_i}}}{r}\right)$$

and then $\sum\limits_{i=1}^{n} l_i \geq \frac{1}{r} \sum\limits_{i=1}^{n} n^{\frac{1}{l_i}} l_i$ which contradicts (2.12). ∎

Finally, we obtain the following sufficient condition for the existence of an instantaneous code having a given the non-negative integers r and the lengths $l_1, ..., l_n$.

Theorem 2.8. *If the non-negative integers r, l_i $(i = 1, ..., n)$ satisfy the inequality:*

$$r \geq \frac{\sum\limits_{i=1}^{n} \frac{l_i}{r^{l_i}}}{\sum\limits_{i=1}^{n} \frac{l_i}{r^{l_i} \; n^{\frac{1}{l_i}}}}$$

then there is one instantaneous r-ary code with codeword lengths $l_1, ..., l_n$.

The proof follows by Lemma 2.5 and Kraft's theorem. We shall omit the details.

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(N.M. Dragomir and S.S. Dragomir) School of Communications and Informatics, Victoria University of Technology, PO Box 14428, Melbourne City MC, Victoria 8001, Australia.

(K. Pranesh) University of Transkei, Private Bag X1, UNITRA Umtata, 5117, South Africa

E-mail address: N.M. Dragomir `nico@matilda.vut.edu.au`

S.S. Dragomir `sever@matilda.vut.edu.au`

K. Pradesh `kumar@getafix.utr.ac.za`

[0] The present paper is accepted for publication in Soochow J. of Math., Taiwan.